

U.S. Application No.: /

International Application No.: PCT/JP04/011501

Docket No.: JCLA14412

Date: October 07, 2004

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**TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 USC 371**

International Application No. : PCT/JP2004/011501  
 International Filing Date : August 04, 2004  
 Priority Date Claimed : August 05, 2003  
 Title of Invention : OPTICAL COMMUNICATION DEVICE SUBSTRATE, METHOD OF  
 MANUFACTURING THE SAME, AND OPTICAL COMMUNICATION  
 DEVICE USING THE SAME  
 Applicant(s) for DO/EO/US : TAKAHIRO MATANO; SATORU YOSHIHARA ; ;

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 USC 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC 371.
3. ☒ **This express requests to begin national examination procedures (35 USC 371(f)). The submission must include items (5), (6), (9) and (21).**
4. ☒ The U.S. has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 USC 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 USC 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 USC 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 USC 371(c)(3)).
9. ☐ An Oath of Declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 USC 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).

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19. ( ) A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

20. (X) Other items or information:

a. ( ) International Search Report (Form PCT/ISA/210).

b. (X) Return post card.

21. (X) The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 13492 (a) (1) – (5)):**

( ) Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37CFR 1.445(a)(2)) paid to SPTO and International Search Report not prepared by the EPO or JPO.....\$1080.00

(X) International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international Search Report prepared by EPO or JPO.....\$920.00

( ) International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$770.00

( ) International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Articles 33(1)-(4). ....\$730.00

( ) International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article Articles 33(1)-(4). ....\$100.00

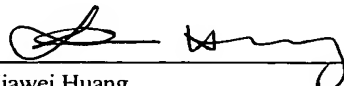
**FEES**

BASIC FEE				\$ 950
CLAMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	15 – 20 =	0 x	\$ 18	\$ 0
Independent Claims	2 – 3 =	0 x	\$ 88	\$ 0
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)			\$ 300	\$ 0
( ) Applicant claims small entity status. See 37 CFR 1.27. The fee indicated above are reduced by ½.				\$ 0
Processing fee of \$130 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0
<b>TOTAL NATIONAL FEE AS CALCULATE ABOVE</b>				<b>\$ 950</b>
Fee for recording the enclosed Assignment (37 CFR 1.21(h)).			\$ 40	\$ 0
<b>TOTAL FEES ENCLOSED</b>				<b>\$ 950</b>

(X) A check in the amount of \$ 950 to cover the above fee is enclosed.

(X) The Commissioner is hereby authorized to charge any additional fees which may be required in connection with the filing of the above national phase application, or credit any overpayment to Deposit Account No. 50-0710 (Order No. JCLA14412). A duplicate copy of this transmittal is enclosed.

PLEASE SEND ALL CORRESPONDENCE TO:  
J.C. PATENTS  
4 VENTURE, SUITE 250  
IRVINE, CA 92618  
TEL. (949) 660-0761

  
Jiawei Huang  
Registration No. 43,330

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10/510943

**J.C. PATENTS**  
4 VENTURE, SUITE 250  
IRVINE, CA 92618  
TEL : (949) 660-0761  
FAX: (949) 660-0809

COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450


**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

**Docket No.** : JCLA14412  
**Applicant(s)** : TAKAHIRO MATANO ;  
SATORU YOSHIHARA ;  
**For** : OPTICAL COMMUNICATION DEVICE SUBSTRATE, METHOD  
OF MANUFACTURING THE SAME, AND OPTICAL  
COMMUNICATION DEVICE USING THE SAME  
**"Express Mail"** : EV 338305535 US  
**Mailing Label No.**  
**Date of Deposit** : October 7, 2004

I hereby certify that the accompanying

Transmittal in duplicate; A copy of the original Specification of International Application PCT/JP2004/011501; English translation of Specification in 36 pages; 2 sheets of drawings; Preliminary Amendment; Information Disclosure Statement with 8 references; Check for national phase filing fee; Return prepaid postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Jiawei Huang